

**Mailed 1/30/2002**

**BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA**

Petition of the California Alliance of Information and Referral Services and Members of the Statewide 2-1-1 Steering Committee for a Commission Order Instituting Rulemaking to Adopt, Amend or Repeal a Regulation Pursuant to Public Utilities Code Section 1708.5 to Implement 2-1-1 Dialing in California.

Petition 01-08-044  
(Filed August 30, 2001)

Order Instituting Rulemaking to Implement 2-1-1 Dialing in California.

FILED  
RULEMAKING 02-01-025  
PUBLIC UTILITIES COMMISSION  
JANUARY 23, 2002  
SAN FRANCISCO, CALIFORNIA

**DECISION GRANTING PETITION OF THE  
CALIFORNIA ALLIANCE OF INFORMATION AND REFERRAL SERVICES  
AND MEMBERS OF THE STATEWIDE 2-1-1 STEERING COMMITTEE  
AND ORDER INSTITUTING RULEMAKING TO  
IMPLEMENT 2-1-1 DIALING IN CALIFORNIA**

**Summary**

By this order we grant the Petition of the California Alliance of Information and Referral Services (CAIRS)<sup>1</sup> and Members of the Statewide 2-1-1

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<sup>1</sup> CAIRS is comprised of information and referral providers operating in California whose mission is to improve access to health and human services for California residents by (1) helping people find and use human services effectively; (2) collecting, classifying and disseminating information about health and human services and needs in ways which optimize the quality and efficiency of the health and human services

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Steering Committee (the 2-1-1 Committee)<sup>2</sup> to institute a rulemaking into the implementation of 211 dialing in the State of California. 211 is the national abbreviated dialing code designated by the Federal Communications Commission ("FCC") to be used to access non-emergency community information and referral providers (I&R providers).

### **Background Information**

On July 31, 2000, the Federal Communications Commission (FCC) issued a Third Report and Order on Reconsideration in Proceeding Nos. NSD-L-99-24, NSD-L-98-80 and Docket No. CC 92-105 ("*Third Report and Order*") assigning the 211 dialing code as a national abbreviated dialing code to be used for access to community I&R providers.<sup>3</sup> The use of this 211 dialing code has the potential to

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delivery systems; and (3) providing leadership, technical assistance, training and support to other human service agencies. More information about CAIRS is available at [www.cairs.org](http://www.cairs.org).

<sup>2</sup> The Statewide 2-1-1 Steering Committee serves as a resource for and to represent all information and referral service providers and their consumers in the development of 2-1-1 dialing in California. Members of the 2-1-1 Steering Committee include representatives from the California Alliance of Information and Referral Services; California Child Care Health Program; the California Foundation for Independent Living Centers; California Child Care Resource & Referral Network; the California Foundation for Independent Living Centers; the Contra Costa Crisis Center; the Deaf and Disabled Telecommunications Program; the Disabled Women's Alliance; the Governor's Office of Emergency Services; the Humboldt/Del Norte Area 1 Agency on Aging; INFO LINE of Los Angeles, Inc.; INFO LINE of Sacramento; Interface Children Family Services; the Kern County Economic Opportunity Corporation; La Cooperativa; Northern California Council for the Community Helpline; Northern Valley Catholic School Services; Riverside County Children & Families Commission; the San Francisco AIDS Foundation; the San Francisco Public Library; the Southern California Association of Governments; and the United Way of Stanislaus County.

<sup>3</sup> See, *In the Matter of the Use of N11 Codes and Other Abbreviated Dialing Arrangements, Third Report and Order on Reconsideration*, FCC 00-256, Ordering Paragraph 52 (rel. July 31, 2001.) Currently, petitions for modification and clarification of the Third Report

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provide Californians with information and referrals to services such as child care, housing assistance, physical and mental health resources, aging and hospice services and educational programs. Such information is not currently available through the 911 emergency code or the 311 police non-emergency code. As the Federal Communications Commission noted in its *Third Report and Order*, the assignment of the 211 code to I&R providers satisfies the public interest standards for assignments of N11 codes, and recognizes that a great public need can be met through the implementation of a 211 dialing program. 211 dialing is currently in use in the States of Georgia and Connecticut. 211 programs are currently scheduled for implementation in several other states.

On August 30, 2001, CAIRS and the 2-1-1 Committee filed a petition pursuant to California Public Utilities Code Section 1708.5 asking that the Commission institute a rulemaking to adopt regulations concerning the implementation of the 211 dialing code for use by I&R providers in California. The petitioners attached as an exhibit a proposed Order Instituting Rulemaking (OIR), including proposed application procedures governing implementation and use of the 211 dialing code.

On October 1, 2001, the Pacific Bell Telephone Company (Pacific) filed a response to the Petition. On October 19, 2001, AT&T Wireless Services, Inc. (AT&T Wireless) filed a response to the Petition. On October 29, 2001, pursuant to the authorization of Administrative Law Judge Sullivan, CAIRS and the 2-1-1 Committee filed a reply to Pacific and AT&T Wireless.

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and Order are pending before the Federal Communications Commission. As part of this Rulemaking, we seek comment whether these petitions create any legal impediment to proceeding with 211 implementation in California.

## **Positions in Responses and Replies**

Pacific's response states that it does not oppose the Petition and that Pacific specifically limits its comments to those aspects of the OIR that affect carriers. Pacific states that it agrees that it may be "preferable" for carriers to make 211 services available to I&R providers as a tariff.<sup>4</sup> Pacific further notes that it has already begun drafting a tariff to provide 211 service, and that the tariff filing will include a cost study supporting charges for this service, as well as technical and operational information about this service. Pacific believes that if an OIR resulting from the Petition includes cost, operational, and technical issues pertaining to carriers, regulatory uncertainty and the risk of a delay in service provision could result. Pacific recommends that the OIR not investigate carrier specific cost and technical issues.

AT&T Wireless notes that it does not object to an OIR concerning the implementation of 211 dialing in California. AT&T Wireless, however, states that it strongly agrees with the comments of CAIRS and the 211 Committee that "any implementation of the 211 numbering resource for CMRS carriers in California await resolution of outstanding issues at the FCC."<sup>5</sup> In addition, AT&T Wireless cites specific issues arising from the design and nature of cellular networks that would prohibit the implementation of this service without the re-engineering of the carriers' networks and the possible development of complex databases.

In their joint reply, CAIRS and the 211 Committee state that they have no intention of creating any regulatory uncertainty for Pacific. They state that their

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<sup>4</sup> Petition, p. 6.

<sup>5</sup> Petition, at footnote 30.

sole intention is to develop a sufficient record to support implementation of 211 throughout California. CAIRS and the 211 Committee believe that the Commission should consider whether “all carriers should make 211 services available via a tariff offering . . .”<sup>6</sup> They also state that carriers should recover the costs they incur to provide 211 services.

Concerning the filing of AT&T Wireless, CAIRS and the 211 Committee recommend that Commission defer any issues surrounding wireless implementation of 211 dialing until further direction by the FCC. They note, however, that they strongly support planning efforts by wireless carriers to deploy 211 dialing.

### **Discussion of Responses and Replies**

The response of Pacific, the response of AT&T Wireless and the reply of CAIRS and the 211 Committee have been helpful to the Commission to refine the scope of the proposed rulemaking and to avoid steps that may jeopardize the timely implementation of 211 service in California.

Pacific points out that it intends to file a tariff to implement 211 service shortly. This is not only a constructive development, but it helps us to narrow the focus of this rulemaking. A focus of our rulemaking should be on whether it is reasonable to require all local exchange carriers to implement 211 telephone service in a timely fashion, and we need not focus scrutiny on those carriers who already have such plans. For this reason, the rulemaking need not consider the cost data of those carriers who plan to tariff this service – we need only consider cost and technical data from local exchange carriers unwilling or unable to provide the service.

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<sup>6</sup> Reply of CAIRS and 211 Committee, p. 3.

AT&T Wireless alerts us to the regulatory issues currently before the FCC concerning the implementation of 211 service by wireless carriers. Since our goal is to bring 211 services to Californians speedily, this Commission will focus its regulatory resources on the provision of 211 service by local exchange carriers at this time.

### **Discussion of Petition and Proposed Rulemaking**

The Petition alerts the Commission to the opportunity provided by FCC action to offer an innovative and helpful service to Californians that is already available in other parts of this country. Thus, it is reasonable and appropriate to grant the Petition and open a rulemaking concerning the implementation of 211 service.

In this rulemaking, we intend to review the implementation issues relating to development of a statewide 211 dialing program. The Commission's actions in this rulemaking will lead to the establishment of a coordinated set of policies, rules and procedures to be used by participants in the program, including telecommunications carriers, I&R providers and community organizations. The two focuses of this rulemaking are whether it is reasonable to require all local exchange carriers to provide 211 telephone service and the procedures for selecting 211 I&R providers. The issues we will examine include, but are not limited to:

1. What limitations may or may not exist to the Commission's authority to implement 211 dialing, given the FCC's jurisdiction over numbering administration.
2. Are there specific costs or other considerations concerning the implementing and operating of 211 dialing that provide grounds for exempting a specific local exchange carrier from a requirement to offer 211 service via a tariff?
3. What criteria should the Commission establish to evaluate organizations seeking to provide information and referral

services via 211 dialing?

4. Who is responsible for the operation and administration of the 211 system? Should responsibility fall on community information and referral services, carriers, or the Commission, or should responsibility be shared amongst all interested parties?
5. Are there specific adjustments that a particular local exchange carrier would need to make to their networks to implement 211 dialing that provide grounds for exempting a specific local exchange carrier from a requirement to offer 211 service?
6. Should the Commission require all local exchange carriers to tariff 211 service? What should the timetable be for implementation of 211 dialing in California?
7. What types of customer education programs are required to inform Californians of the availability of 211, so that the program can be used effectively and beneficially by all Californians?

### **Preliminary Scoping Memo**

This rulemaking will be conducted in accordance with Article 2.5 of the Commission's Rules of Practice and Procedure. As required by Rule 6(c)(2), this order includes a preliminary scoping memo as set forth below.

The issues to be considered in this proceeding are:

1. What authority, if any, does the Commission have to implement 211 dialing and address nonconforming use of the 211 abbreviated dialing code?
2. Assuming such authority exists, are the proposed guidelines and application package attached hereto as Appendix A consistent with the public interest.
3. Should the Commission require all local exchange carriers to tariff 211 service? What technical, operational, economic and administrative concerns provide a basis for exempting a local exchange carrier from a requirement to implement 211 dialing? Are there specific local exchange carriers regulated by this Commission that should be exempt from

providing 211 dialing?

4. What rules and regulations should the Commission adopt to ensure 211 dialing is implemented for all Californians in furtherance of the public interest?

In addition to other comments provided in response to this rulemaking, parties should respond to the above-listed issues.

Pursuant to Rule 6(c)(2), we preliminarily determine the category of this rulemaking proceeding to be quasi-legislative as the term is defined in Rule 5(d). Consistent with this categorization, we intend to establish policies and rules governing the provision of 211 dialing based on written comments we receive from the parties. At this time we do not anticipate holding hearings. However, parties will have the opportunity to comment on the necessity of hearings, and we may re-evaluate both the categorization and need for hearings after review of the comments.

In accordance with Rule 6.3 and 6(c)(2), the proposed schedule is as follows:

Rulemaking Issued	January 23, 2002
Opening Comments	February 22, 2002
Prehearing Conference	March 8, 2002
Scoping Memo	March 15, 2002
Reply Comments	March 29, 2002
Issuance of Draft Decision	May 17, 2002
Final Decision	June 2002

The proposed schedule may change, and will be refined by ruling either at the prehearing conference (PHC) or in a written ruling.

It is our intention to solicit an initial round of opening comments from interested parties. As a first step, interested parties shall file responses to this Order as outlined above. As required by Rule 6(c)(2), any party filing a response

to the Order shall state in its response any objections the party has regarding (1) the categorization of this proceeding as "quasi-legislative," (2) the determination that there is no need for hearings, and (3) the preliminary scope and timetable for this proceeding as described in this Order. Any party who believes that a hearing is required should, in its response, identify and describe (1) material issues of fact and (2) the evidence the party proposes to introduce at the requested hearing. Any right that a party may otherwise have to a hearing will be waived if the party does not submit such information in its response.

Those persons who do not want to be parties, and only want notice of the hearings, rulings, proposed decisions, and decisions, may either appear at the prehearing conference and fill out an appearance form, or they may mail a written request to the Process Office requesting that they be added to the service list for information only.

Those persons employed by the State of California who are interested in this proceeding may be added to the "state service" section of the service list either by appearing at the prehearing conference and filling out an appearance form, or they may mail a written request to the Process Office requesting that they be added to the state service list. All of the names that appear on the state service list shall be served with all documents that parties may submit or file in connection with this proceeding.

Any person interested in participating in this rulemaking who is unfamiliar with the Commission's procedures should contact the Commission's Public Advisor Office in San Francisco at (415) 703-2074, or in Los Angeles at (213) 649-4782.

Following review of the comments submitted, the Administrative Law Judge (ALJ) shall convene a Prehearing Conference (PHC) to discuss the issues, scope and schedules of this proceeding. After the PHC, the assigned

Commissioner will issue a scoping memo that finalizes the category, scope and schedule of this proceeding (Rules 6(c)(2) and 6.3). After the issuance of this ruling, parties may file and serve an appeal to the Commission regarding the assigned Commissioner's ruling on category (Rule 6.4).

Consistent with Rule 6(e), we expect that this proceeding will be concluded within 18 months.

### **Service of this Order and Service List for Proceeding**

All telecommunications utilities in California are potentially affected by this rulemaking. Therefore, so that any potentially interested parties are notified of this rulemaking, we shall serve this order on all telephone utilities certificated by this Commission.

Anyone wishing to be placed on the service list for this proceeding should submit his or her request within 20 days of the issuance of this order to the Process Office, 505 Van Ness Avenue, San Francisco, California 94102. Parties should reference this proceeding number and indicate whether they wish to be on the service list for this proceeding. In addition to the party's name, the name of their representative (if any), their address, and telephone and facsimile numbers, an e-mail address should be provided by each party unless the party states that no email address is available. A service list will then be prepared and posted on the Commission's web site at [www.cpuc.ca.gov](http://www.cpuc.ca.gov) as soon as practicable. Requests to be included in the service list made more than 20 days after the issuance of this order must be sent to, and approved by, the assigned ALJ.

### **Ex Parte Communications**

This proceeding is subject to Rule 7, which specifies standards for engaging in ex parte communications and the reporting of such communications. Pursuant to Rules 7(a)(4) and 7(d), ex parte communications will be allowed in this proceeding without any restrictions or reporting requirements until the

assigned Commissioner makes an appealable determination of category. Following the Commissioner's determination, the applicable ex parte communications and reporting requirements shall depend on such determination unless and until the determination is modified by the Commission pursuant to Rules 6.4 and 6.5.

### **Findings of Fact**

1. On August 30, 2001 CAIRS and the 2-1-1 Committee filed a Petition requesting that the Commission institute a rulemaking into the implementation of 211 dialing in the state of California.

2. 211 is the national abbreviated dialing code designated by the FCC to be used to access non-emergency community I&R providers.

3. It is reasonable to initiate an order instituting a rulemaking to implement 2-2-1 dialing in California.

4. It is therefore reasonable to grant the Petition to the extent that it requests the initiation of such a rulemaking.

### **Conclusions of Law**

1. Pursuant to Public Utilities Code Section 1708.5, the Commission has authority to consider a petition requesting the initiation of a rulemaking to implement 2-1-1 dialing in California.

2. To the extent that the petition requests the initiation of a rulemaking to implement 2-1-1 dialing in California, it should be granted.

3. A rulemaking to implement 2-1-1 dialing in California should be initiated.

## **O R D E R**

**IT IS ORDERED** that:

1. To the extent that the Petition of the California Alliance of Information and Referral Services (CAIRS) and Members of the Statewide 2-2-1 Steering Committee requests that the Commission initiate a rulemaking into the implementation of 211 dialing in the State of California, it is granted.

2. A rulemaking on the Commission's own motion into implementation of 211 dialing in the State of California is hereby initiated.

3. We direct all parties who wish to be included on the service list for this proceeding to send a letter to the Commission's Process Office no later than 20 days from the issuance of this order. Thereafter, such requests must be sent to, and approved by the assigned administrative law judge.

4. Interested parties shall file and serve their responses to this Order Instituting Rulemaking by February 22, 2002 and reply responses by March 29, 2002 in accordance with the Commission's rules for filing and serving documents. In their responses, parties should address the issues listed above.

5. As required by Rule 6(c)(2) of the Commission's Rules of Practice and Procedure, any party filing a response to this order shall state in the response any objections to (i) the categorization of this proceeding as quasi-legislative, (ii) the determination that there is no need for hearings, and/or (iii) the preliminary scope and timetable for this proceeding.

6. A Prehearing Conference (PHC) is set for March 8, 2002 at 10:00 a.m. in San Francisco to discuss the preliminary category of the issues and proposed schedule in the preliminary scoping memo. Following the PHC, the assigned Commissioner will rule on the scoping memo, and make changes as appropriate.

7. Any party who believes that a hearing is required in this proceeding shall make that request in the party's response to this Order. Any right that a party may otherwise have to a hearing will be waived if the party does not submit such a request in its response.

8. The Executive Director shall serve this Order on all incumbent local exchange carriers, competitive local carriers, wireless registrants, and the counsel of each California county.

9. Petition 01-08-044 is closed.

10. All future items filed with respect to this order shall bear only the caption and docket number of the Order Instituting Rulemaking.

This order is effective today.

Dated January 23, 2002, at San Francisco, California.

LORETTA M. LYNCH

President

HENRY M. DUQUE

RICHARD A. BILAS

CARL W. WOOD

GEOFFREY F. BROWN

Commissioners

# **APPENDIX A**

**RECOMMENDED GUIDELINES  
for  
CPUC STAFF REVIEW**

**2-1-1 CALIFORNIA  
SERVICE PROVIDER APPLICATION**

Proposed application review guidelines for CPUC staff  
211 California Service Provider Application

## **Section 1 - Organizational Structure, Background, and Experience**

*Review for required attachments: 3- year budget; audited financial statements.*

1.1 If the application includes a collaboration of Information and Referral (I & R) service providers, all service providers must be identified and all must apply at the same time.

1.2 The minimum service delivery area is the county. Organizations may serve one county or a group of counties.

1.3 Previous experience providing information and referral services is not required. However, such experience, especially within the proposed service area, supports the knowledge and relationships necessary to create good working relationships with direct service providers. Additionally, experience within the proposed service area may enhance an organization's ability to advocate on behalf of a client. In the absence of relevant agency history/experience, the experience of key staff should be given greater weight. All other aspects of the application being equal, organizations with previous I & R history should be given greater weight; organizations with experience providing services within the proposed service area should be given greater weight.

1.6 The application requests information regarding key manager's experience. In addition to the history and experience established at the agency level, it is important that the management staff experience indicate some history in providing information and referral services.

1.7/1.8 Once established in a community, it is important that 2-1-1 service continue without interruption. The organization's budget and financial reports should demonstrate a solvent organization with appropriate budgetary planning to support 2-1-1.

## **Section 2 - Terms and Conditions of Service**

*No attachments required; narrative length - 2 pages.*

2.1 In this section the applicant essentially agrees to provide services as the terms/conditions indicate.

2.2 The request for or acceptance of fees or compensation of any kind for referrals made by the 2-1-1 service provider should be prohibited. The possibility exists that a service provider may not provide information concerning

all the appropriate services if it accepts compensation for referrals. This prohibition applies to the 2-1-1 service provider itself and not to specialized information services to which a 2-1-1 caller may be referred.

2.3 There must be no charge to callers for 2-1-1 service beyond charges for local or measured rate service. No inter or intra LATA toll charges should apply to 2-1-1 calls. There should be no charge for referrals. No paid advertising or "commercials" should be heard on the phone lines or viewed via Internet if the 2-1-1 provider offers such a service. Monies accepted for advertising could influence the types or specific referrals offered.

2.4 2-1-1 service requires that a live person answer the phones 24 hours, 7 days a week. Taped information is not an acceptable alternative. An answering service, albeit "live", is also not an acceptable alternative because answering service operators are not trained information and referral professionals. The 2-1-1 provider in any county may contract with another information and referral service provider to provide after-hours coverage. The contracted organization must have access to the local provider's database in order to provide accurate and appropriate referrals.

***Section 3 is the organization's opportunity to present information about its service delivery strategy. Section 4 demonstrates community support in the form of endorsements from impacted service providers. Section 4 should assist the Commission to validate whether the applicant(s) has made an accurate representation in Section 3.***

### **Section 3 - AIRS Standards**

*No attachments required; narrative maximum 5 pages*

The field of Information and Referral has delivered critical information services to people with need for more than two decades. During this maturation process the Alliance of Information and Referral (AIRS), the national professional organization of information and referral service providers, in conjunction with its members, has codified best practices for the field. The standards are published in the "AIRS Standards," a professional guide for information and referral service delivery. The standards were first published in 1973 and have been revised four times; the latest edition was published in 2000. The following requirements are drawn from the AIRS 2000 Standards.

The "Standards" are organized to address the four major components of Information and Referral/2-1-1 service: 1) Service Delivery - getting the

information to the individual; 2) the Resource Database - a listing of agencies and programs; the source from which the referrals are drawn; 3) Reports and Measures - the results of which allow an agency to evaluate its service and modify as needed; and, 4) Cooperative Relationships - important to the development and/or maintenance of a coordinated system to deliver health and human services.

Information and Referral service is a composite of these four components. All specific criteria in each of the four areas must be met to obtain 2-1-1 designation.

### ***3.1 Service Delivery Standards***

For 2-1-1 designation, agencies must demonstrate in their narrative how they meet the itemized standards for service delivery. The following background information should be considered when reviewing the applicant's narrative for service delivery standards. Information and Referral/2-1-1 exists to assist individuals to navigate the fragmented and confusing landscape of the various health and human service delivery systems. It must offer enough assistance to help an individual access these services. Often this is more than simply the address and telephone number of a service provider. Therefore a range of service levels must be available and provided based on the individual need. Individuals need accurate, pertinent information about the availability of services and the eligibility requirements for health and human services in order to determine if they qualify for the service. Finally, individuals must feel confident that information given to the I & R service provider will be held in strict confidence otherwise those with needs such as substance abuse services, or anger management, for example, may well decide not to call for help.

### ***3.2 Information and Referral Resource File Standards***

The resource file standards provide minimum guidelines to ensure that there will be a body of information sufficient to support the needs of the individuals calling for help. The criteria specifically provide for verification of data on a regular basis to ensure the accuracy of information provided to callers; a consistently applied process for including or excluding agencies so that clients and the general public will be aware of the database scope and/or limitations; and a common set of data elements to ensure standardization of information from listing to listing. The standards also call for services to be indexed in a manner that creates easy access to appropriate services and programs listed in the database. Taken together these standards should result in the availability of accurate, up-to-date, and consistent information.

- Review the applicant's narrative to determine if they have written inclusion/exclusion criteria sufficient to guide the content of the resource database.
- Review the narrative to determine if they uniformly collect agency data.
- Identify the indexing tool used; if it is not the AIRS/Info Line Taxonomy, there should be plans to convert the database to that Taxonomy.
- Review the stated update procedure - it should be conducted annually at a minimum.

### ***3.3 Information and Referral Disaster Standards***

Review the narrative for the existence of a disaster plan, notation of pre and post disaster resources.

### ***3.4 Information and Referral Reports and Measures Standards***

An indirect result of Information and Referral/2-1-1 service delivery is the collection of data relating to community needs. This information, while extremely important in understanding an agency's service population, is also critically important to funders and planners within a service community. The reports and measures standards ensure that the 2-1-1 designee has the infrastructure necessary to aggregate and report on service needs.

Minimally, the data collected and reported should include number of calls organized by service need, referrals made and/or lack of available referrals; and geographic location of caller (by city or zip code.)

### ***3.5 Cooperative Relationships***

As indicated by Section 4, cooperative relationships form the backbone of Information and Referral/2-1-1 services to a community. Cooperation among agencies within service jurisdictions (one or more counties) is important to ensure that callers who may need to be referred or "handed off" to a second helping resource are well served. Child care information and referral services offer a good example of these cooperative relationships. To minimize funding of redundant services, most I & R service providers refer to other, specialized I & R service providers. Comprehensive information and Referral service providers refer to the specialized child care information and referral services rather than maintaining this specific information. Thus when an individual with child care needs contacts the comprehensive Information and Referral service provider, that provider will conference or transfer the caller to a child care information service in the same service area. A good working relationship between the

comprehensive information and referral service provider (the 2-1-1 service provider) and the specialized service provider (the child care information service) creates the network necessary to be sure the caller receives the information needed with just one call.

### ***3.6 Other Organizational Standards***

These remaining criteria address general administrative needs to ensure that the Information and Referral/2-1-1 program is responsibly managed.

## **Section 4 - Demonstrated Community Support**

*Letters of Support/Endorsement required - 15 letter maximum*

Review this section of the application for breadth and scope of community support. Support from organizations that serve a large number of people may be given greater weight than support letters from smaller organizations. Support from public and non-profit service providers may be given greater weight than those from individuals or for profit businesses because I&R service has traditionally been provided on a non-profit basis in California.

## **2-1-1 California**

### **Service Provider Application Package**

*2-1-1 California Service Provider Application*

**Instructions to the applicant:**

You may apply as an individual organization or a collaborative. If you are applying as a collaborative, all members of the collaborative must be identified, and information regarding these organizations provided at the same time. One agency must be identified as the lead agency for the collaborative. The lead agency will be the sole recipient unless it is manifest that another collaborator's contribution is necessary for the successful operation of the enterprise in which case the essential parties must have a written agreement detailing their relationship, commitment, and approach to dispute resolution. You must provide a response to all sections and sub-sections. You must provide all the attachments requested.

*The application for 2-1-1 Service is organized in four sections:*

*Section 1 Organizational Structure, Background and Experience*

This section establishes the organizational requirements for 2-1-1 service providers. You must meet the stated requirements to qualify for consideration as a 2-1-1 service provider. Your narrative should describe how you meet the stated requirements.

*Section 2 Terms and Conditions of Service*

This section sets forth the terms and conditions of service. You must provide services as described in this section. You must agree to the stated terms and provide a brief narrative describing how you will meet the service conditions required. For example, section 2.2 requires that 2-1-1 service will be provided by "live operators 24 hours a day..." In response to this requirement, your narrative could indicate how you plan to staff the service to provide the 24 hour coverage.

*Section 3 AIRS Standards*

This section identifies service delivery standards. These standards are based on the Alliance of Information and Referral Services national standards published in 2000. For your reference, a summary of the standards are available through the AIRS.org website. Your narrative should describe how you currently meet or intend to meet the service delivery standards. For example, Section 3.2.4 requires that the database of providers

"be updated at least annually." Your narrative should provide information regarding how this annual update is accomplished.

*Section 4 Community Support*

There can be only one 2-1-1 provider per county or groups of counties. This section requires that you demonstrate broad community support for your organization as the local 2-1-1 provider. You should include letters of support from agencies in each of the service categories identified on the form provided. Do not include more than one support letter in each of the categories or more than a total of 15 letters.

Sections 1, 2 and 3 require narrative response. Your responses should be organized in a manner consistent with the layout of the application. Each narrative has a page limit. Pages in excess of those required will not be read or considered. Some sections require attachments. Identify and include these attachments as part of your complete application package.

## **SECTION 1 ORGANIZATIONAL STRUCTURE, BACKGROUND AND EXPERIENCE**

This section of the application requires that the applicant provide a summary of relevant information to indicate its ability to perform required basic Information and Referral services for a designated community. The information will be used to evaluate organizational capacity.

1.1 Provide the name, address, and contact name for the organization. Provide the names and address and contact name for all collaborators or partners.

1.2 Provide documentation that indicates the organizational category of your organization, e.g., corporation, partnership, sole proprietor, profit or non-profit organization, governmental agency or any combination thereof. Also provide a list of all individuals that comprise the governance or ownership or collaborators of your organization.

1.3 State the number of years of experience the applicant has had providing information and referrals services, the types of services performed and the communities in which they were performed.

1.4 Provide proof of, or application for, authority to conduct business in the State of California.

1.5 Indicate the length of time in business under current business name and prior business names. If a corporation, include date of incorporation.

1.6 Provide a description of key managers' experience in the service to be provided or equivalent or similar experience of principle individuals in the applicant's organization.

1.7 Provide a proposed budget for the next three years. In the proposed budget you may want to consider the anticipated increase in your budget due to 2-1-1 service implementation as well as the projected source of the anticipated increased funding.

1.8 Provide an audited financial statement. Such statement shall be the most recent and complete audited financial statement available and for a fiscal period not more than 18 months old at the time of submission. This statement shall be by an independent, certified public accountant. In the event qualifying audited financial statements are not available, an unaudited statement along with the

entity's federal income tax returns for the preceding two (2) years may be submitted.

1.8.1 New organizations may provide a proposed budget, proposed funding sources, and commitments, if any, from proposed sources.

1.8.2 If a collaboration, provide proposed budget details of commitment from principal members of the collaborative and financial statements for principal members of the collaborative. A principal member is defined as contributing/raising/otherwise responsible for more than 25% of the budgeted income or any member(s) on whose experience the collaboration is relying to demonstrate its qualifications.

## **SECTION 2**

### **TERMS AND CONDITIONS OF SERVICE**

This section of the application sets forth the required service conditions for 2-1-1 service providers. To obtain 2-1-1 designation, all these conditions must be met. Applicants should prepare a narrative describing the organization's ability to meet the required conditions. The information provided will be used to evaluate the organization's ability to meet required service terms. The narrative should not exceed two pages.

2.1 The minimal geographic service area of 2-1-1 is a county. 2-1-1 service providers may serve one or more counties. State the county or counties the applicant intends to serve.

2.2 The 2-1-1 service provider applicant will not accept fees from referred organizations in return for referrals.

2.3 2-1-1 service must be provided at no charge to callers; it must also be free of commercials or advertising; supporters may be recognized on printed materials.

2.4 2-1-1 service will be provided by "live" call takers 24 hours a day, seven days a week.

2.4.1 2-1-1 services must be provided by the applicant or

2.4.2 After hours 2-1-1 services may be provided by linkage to another organization. If service is to be provided in this manner, provide the name of the organization its phone number, and the name of the contact person. Service delivery standards (see Section 3), however, must be met at all times.

2.5 2-1-1 service must be accessible 24 hours a day, seven days a week, to all callers regardless of language or disability.

2.5.1 Provide information regarding languages available via live staff.

2.5.2 Provide information regarding interpretation/translation services.

2.5.3 Provide information regarding TTY/TDD access.

## **SECTION 3**

### **AIRS STANDARDS**

The Alliance of Information and Referral Services (AIRS), the national professional membership organization of information and referral service providers, has established standards for delivery of information and referral services. The applicant must demonstrate its understanding of these standards and agree to adhere to them in the delivery of 2-1-1 services. The applicant should provide a narrative description that illustrates how it will meet these service delivery standards. The maximum narrative length is five pages.

#### **3.1 Information and referral service delivery standards**

##### **3.1.1 Organization staff must provide a range of information responses**

3.1.1.1 Provision of simple information e.g., name, address, and telephone number of service provider.

3.1.1.2 One-to-one referrals based on assessment of the client's needs.

3.1.1.3 Advocacy and intervention as needed to increase the likelihood that people will obtain the benefits to which they are entitled.

3.1.1.4 Follow-up services to address situations where further assistance may be required.

3.1.2 Information and referrals must be accurate and pertinent to the needs presented.

3.1.3 Interactions between clients and I & R agency staff must be confidential.

#### **3.2 Information and Referral Resource File Standards**

3.2.1 The organization must have written criteria that identify what is included or excluded from the resource database.

3.2.2 The organization must have a standardized profile (resource information collection tool) that collects identified data elements regarding all agencies and/or services for which it is supplying information or to whom it is making referrals.

3.2.3 The entire database must be updated at least annually to provide for up-to-date referral information.

3.2.4 The organization must index services using the AIRS/Info Line of Los Angeles Taxonomy of human services or

3.2.5 The organization must agree to convert the resource database to Taxonomy indexing within three years.

### 3.3 Information and Referral Disaster Standards

3.3.1 2-1-1 service must be available in the event of a local disaster, such as an earthquake, flood, or other emergency.

3.3.2 The organization must have a disaster plan.

3.3.3 The organization must have a pre-disaster resource database.

3.3.4 If such a plan or database does not exist, provide information regarding plans to create these.

### 3.4 Reports and Measures Standards

3.4.1 The organization must have a data collection tool that has the capability to collect and maintain the confidentiality of inquirer data.

3.4.2 The organization's data collection tool must have the capability to collect information regarding referrals made for assessed needs and service gaps when no referrals were identified for assessed needs.

3.4.3 The organization must have a report tool that is capable of aggregating and organizing inquirer data and resource data to support internal analysis, advocacy and community planning activities.

### 3.5 Cooperative Relationships Standards

3.5.1 The organization must have cooperative working relationships with targeted and local I & Rs operating in the same service area. (List those agencies and include letters of support as described in Section 4.)

3.5.2 The organization must provide seamless access to 2-1-1 service throughout its service area. Callers make only one call for community service information regardless of the location within the system from which they are calling.

### 3.6 Other Organizational Standards

3.6.1 The organization must provide training for all aspects of the Information and Referral/2-1-1 services to paid and volunteer staff.

3.6.2 The organization must have a program to increase public awareness of information and referral/2-1-1 services, objectives, and their value to the community.

3.6.3 The organization must have an evaluation plan to identify needed program improvements..

3.6.3.1 The plan must be implemented at least annually.

## **SECTION 4**

### **DOCUMENTATION OF COMMUNITY SUPPORT**

To be designated as a 2-1-1 service provider you must demonstrate strong community support for your application. This support should come from a wide range of organizations and agencies that are stakeholders in the health and human services network in your community.

Leaders of organizations that support your application should complete the attached "***Endorsement of 2-1-1 Application.***" Completed endorsements should be submitted with the application.

You should submit endorsements from major agencies and organizations that provide direct service or information and referral service in the proposed service area in the fields listed below where they are available. Endorsements from other types of organizations and from elected officials are also valuable.

Please cross out any organization or entity that is not available in your county or locality, even by extension from another area. Note those services that you directly provide. *Check all endorsements that are attached. Do not include more than 15 endorsements or letters of support.*

- ☐ AIDS/HIV Service
- ☐ Alcohol and Drug Service
- ☐ Business/Labor
- ☐ Services for Children and Families
- ☐ Crisis/Suicide Hotline
- ☐ Disability Service
- ☐ Domestic Violence Service
- ☐ Education
- ☐ Emergency Food Provider
- ☐ Emergency (disaster) Service
- ☐ Employment Service
- ☐ Health Service
- ☐ Homeless Service
- ☐ Library or Library System
- ☐ Mental Health Service
- ☐ Rape Crisis Service
- ☐ Senior Service
- ☐ Women's Service



*2-1-1 California Service Provider Application*

Endorsement of Applicant as 2-1-1 Service Provider

**NOTE TO ENDORSER: 2-1-1 is a unique social utility. There can only be one 2-1-1 service provider in a given area. Therefore, you should only endorse one organization to be designated as the 2-1-1 service provider in the specified area. If you make multiple, competing endorsements, the last dated endorsement will supersede all others.**

**Instructions to endorser:** \_\_\_\_\_ is applying to  
Name of Applicant Agency

the California Public Utilities Commission (CPUC) to be designated as the 2-1-1 service provider for \_\_\_\_\_.

Name of county. If less than a full county, describe specific portion.

\_\_\_\_\_ is providing information to the CPUC that  
Name of Applicant Agency

it has the necessary organizational capacity to provide 2-1-1 service and that it is familiar with and adheres to the professional standards for information and referral. Another essential element of its application is a demonstration of community support for its designation as the 2-1-1 service provider in its area.

2-1-1 is a unique social utility. There can only be one 2-1-1 service provider in a given area. Therefore, you should only endorse one organization to be designated as the 2-1-1 service provider in the specified area. If you make multiple, competing endorsements, the last dated endorsement will supersede all others.

The undersigned endorses \_\_\_\_\_ as the

Name of Agency

organization that is best qualified to provide 2-1-1 service in the proposed service area for the following reasons: (Include a description of your relationship with the applicant organization and comments regarding your knowledge of the applicant's experience and ability to provide comprehensive information and referral services. If further space is required, attach an additional sheet.)

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Name \_\_\_\_\_

Title \_\_\_\_\_

Organization \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_

E-mail \_\_\_\_\_

Type of organization:

Government \_\_\_\_\_ Nonprofit [501][c][3] \_\_\_\_\_ Other (specify): \_\_\_\_\_

Briefly describe the service(s) provided by your organization:

Area served by your organization:

Number of unduplicated clients provided service annually \_\_\_\_\_

Annual budget \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_